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**UNITED STATES DISTRICT COURT**  
**NORTHERN DISTRICT OF CALIFORNIA, SAN FRANCISCO DIVISION**

UNITED STATES OF AMERICA,

Plaintiff,

vs.

MICHAEL RICHARD LYNCH AND  
STEPHEN KEITH CHAMBERLAIN

Defendants.

CASE NO. 3:18-cr-00577-CRB

**[PROPOSED] ORDER GRANTING  
DEFENDANT STEPHEN  
CHAMBERLAIN'S MOTION FOR  
ISSUANCE OF SUBPOENAS AND  
LETTERS ROGATORY PURSUANT TO  
FEDERAL RULE OF CRIMINAL  
PROCEDURE 17(c) RELATING TO  
DAUD KHAN AND PAUL MORLAND**

Date: November 24, 2021

Time: 1:30 p.m.

Crtrm.: 6

Assigned to Hon. Charles R. Breyer

**[PROPOSED] ORDER**

Good cause having been shown, the Court GRANTS Defendant Stephen Chamberlain's Motion for Issuance of Subpoenas Pursuant to Federal Rule of Criminal Procedure 17(c) and Letters Rogatory Pursuant to 28 U.S.C. § 1781 Relating to Daud Khan and Paul Morland.

The Court HEREBY ISSUES the subpoenas and letters rogatory attached to this order.

DATED: \_\_\_\_\_

\_\_\_\_\_  
Honorable Charles R. Breyer  
United States District Court Judge  
Northern District of California

# EXHIBIT 1

## UNITED STATES DISTRICT COURT

NORTHERN DISTRICT OF CALIFORNIA

UNITED STATES OF AMERICA,

Plaintiff,

v.

STEPHEN K. CHAMBERLAIN

Defendant(s).

SUBPOENA TO PRODUCE  
DOCUMENTS OR OBJECTS  
IN A CRIMINAL CASE

Case No.: 3:18-cr-00577-CR

TO: Hafeez Bux Daud Khan

YOU ARE COMMANDED to produce at the place, date, and time specified the document(s) or object(s) indicated below. If compliance would be unreasonable or oppressive, you may file a motion requesting the court to quash or modify the subpoena, to review the documents in camera, or to permit production only pursuant to a protective order.

## PLACE

<input checked="" type="checkbox"/> U.S. Courthouse 450 Golden Gate Ave. San Francisco, CA 94102	<input type="checkbox"/> U.S. Courthouse 280 South First St. San Jose, CA 95113	<input type="checkbox"/> U.S. Courthouse 3140 Boeing Ave. McKinleyville, CA 95519	<input type="checkbox"/> U.S. Courthouse 1301 Clay Street Oakland, CA 94612
--	---	---	---

## COURTROOM/JUDGE

6/Breyer

## DATE AND TIME

12/30/2021 09:00

*If the document(s) or object(s) are produced in advance of the date specified, either to the court in an envelope delivered to the clerk's office or to the issuing attorney whose name and address appears below, no appearance is necessary.*

The following document(s) or object(s) shall be produced:

All records and communications in the possession of Hafeez Bux Daud Khan relating to Autonomy, Mr. Stephen Chamberlain, or Dr. Michael Lynch, including but not limited to, electronic or hard copy documents, hand-written notes, reports (and drafts thereof), emails (including emails sent or received by Daud.Khan@gmail.com), chat messages, text messages, social media account communications, voicemails and audio recordings.

NOTE: Subpoena forms requiring the appearance of a witness to testify at a criminal proceeding or to testify and bring documents to a criminal proceeding, must use Form CAND 89A, *Subpoena to Testify in a Criminal Case*) or for the production of state law enforcement personnel or complaint records (CAND 89C, *Subpoena to Produce State Law Enforcement Personnel Or Complaint Records in a Criminal Case*) are available at the Court's website: [cand.uscourts.gov](http://cand.uscourts.gov).

U.S. MAGISTRATE JUDGE OR CLERK OF COURT

DATE

(By) Deputy Clerk

ATTORNEY'S NAME, ADDRESS AND PHONE NUMBER:

Gary S. Lincenberg  
Bird, Marella, Boxer, Wolpert, Nessim, Drooks, Lincenberg & Rhaw, PC.  
1875 Century Park East, 23rd Floor, Los Angeles, CA 90067-2561  
310-201-2100

CAND 89B (Rev. 6/17) Subpoena to Produce Documents or Objects in a Criminal Case

<b>PROOF OF SERVICE</b>		
RECEIVED BY SERVER	DATE	PLACE
SERVED	DATE	PLACE
SERVED ON (PRINT NAME)		FEES AND MILEAGE TENDERED TO WITNESS  <input type="checkbox"/> YES <input type="checkbox"/> NO AMOUNT \$
SERVED BY (PRINT NAME)		TITLE
<b>DECLARATION OF SERVER</b>		
<p>I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.</p> <p>Executed on _____ DATE _____ SIGNATURE OF SERVER _____</p> <p style="text-align: right;">ADDRESS: _____</p>		
<p><b>ADDITIONAL INFORMATION</b></p>		

# **EXHIBIT 2**

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7 **UNITED STATES DISTRICT COURT**  
8 **NORTHERN DISTRICT OF CALIFORNIA, SAN FRANCISCO DIVISION**  
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11 UNITED STATES OF AMERICA,  
12 Plaintiff,  
13 vs.  
14 MICHAEL R. LYNCH AND  
15 STEPHEN K. CHAMBERLAIN  
16 Defendants.  
17

CASE NO. 3:18-cr-00577-CRB

**[PROPOSED] LETTER ROGATORY  
TO THE APPROPRIATE JUDICIAL  
AUTHORITY OF THE UNITED  
KINGDOM**

Hon. Charles R. Brever

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1 The Honorable Charles R. Breyer, United States District Court Judge of the United  
 2 States District Court for the Northern District of California, presents his compliments to  
 3 the Appropriate Judicial Authority of the United Kingdom of Great Britain and Northern  
 4 Ireland and requests international assistance to obtain evidence to be used in a criminal  
 5 proceeding before this Court in the above-captioned matter.

6 This Court requests the assistance described herein as necessary in the interests of  
 7 justice and for the purpose of a full and fair trial. The assistance requested is that the  
 8 appropriate judicial authority of the Crown compel Hafeez Bux Daud Khan to produce the  
 9 documents identified below.

# 10 **I. FACTUAL BACKGROUND**

11 This request relates to a criminal case brought against Stephen Chamberlain by the  
 12 United States of America in the Northern District of California. The Second Superseding  
 13 Indictment ("SI") alleges that Mr. Chamberlain, Dr. Michael Lynch, and others defrauded  
 14 purchasers and sellers of Autonomy securities, including, specifically, Hewlett-Packard  
 15 Company ("HP") in connection with its purchase of Autonomy Corporation plc  
 16 ("Autonomy") in August 2011. SI at ¶¶ 19, 21. The case against Mr. Chamberlain is in  
 17 pretrial proceedings at present. This Letter Rogatory stems from a request by counsel for  
 18 Mr. Chamberlain for materials which this Court has found are relevant and material for his  
 19 defense at trial and requested in the interests of justice.

20 The charges against Mr. Chamberlain rely in part on the testimony of Mr. Khan, a  
 21 former securities analyst who covered Autonomy, and who has previously testified in  
 22 related proceedings, including *United States v. Hussain*, No. CR 16-462 CRB, and  
 23 *Autonomy Corp. Ltd. v. Lynch*, Claim No. HC-2015-001324 (High Court of Justice,  
 24 Chancery Division, London, U.K.). Mr. Khan has testified that Autonomy's senior  
 25 management misled him and other market participants regarding Autonomy's finances and  
 26 products. The SI alleges that analysts such as Mr. Khan relied on Autonomy's financial  
 27 statements that Mr. Chamberlain helped to prepare, and that Mr. Chamberlain presented  
 28 deceptive information regarding Autonomy's (i) revenue from hardware sales; (ii) Original



1 Equipment Manufacturer ("OEM") revenue; and (iii) cost allocation relating to the launch  
2 of its new Structured Probabilistic Engine ("SPE") product in Q3 2009, among other  
3 things. Mr. Khan has claimed that this inflated financial information led to an inflated  
4 share price.

5 The record as of now is materially incomplete, as Mr. Chamberlain currently has  
6 access to only a limited set of Mr. Khan's relevant communications. As such, it will be  
7 critical for Mr. Chamberlain to receive additional evidence from Mr. Khan in order  
8 establish that, contrary to Mr. Khan's testimony, he was not deceived and that there was no  
9 fraudulent scheme.

## 10 **II. RECIPROCITY**

11 The United States District Court for the Northern District of California expresses its  
12 willingness to provide similar assistance to judicial authorities of the United Kingdom of  
13 Great Britain and Northern Ireland, should the need arise, and to the extent permissible by  
14 law.

## 15 **III. REIMBURSEMENT FOR COSTS**

16 The United States District Court for the Northern District of California assures the  
17 Courts of the United Kingdom of Great Britain and Northern Ireland that Mr. Chamberlain  
18 stands ready to reimburse the judicial authorities of the United Kingdom of Great Britain  
19 and Northern Ireland for any costs incurred in executing the requesting court's letters  
20 rogatory.

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1 **IV. EVIDENCE TO BE OBTAINED**

2 This request is directed to Hafeez Bux Daud Khan's ("Daud Khan"), Flat B, 19  
3 Chetwode Road, London SW17 7RF, for the production of the materials identified below:

4 1. All records and communications in the possession of Hafeez Bux Daud Khan  
5 relating to Autonomy, Mr. Stephen Chamberlain, or Dr. Michael Lynch, including but not  
6 limited to, electronic or hard copy documents, hand-written notes, reports (and drafts  
7 thereof), emails (including emails sent or received by Daud.Khan@gmail.com), chat  
8 messages, text messages, social media account communications, voicemails and audio  
9 recordings.

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12 DATED: \_\_\_\_\_

\_\_\_\_\_  
Honorable Charles R. Breyer  
United States District Court Judge  
Northern District of California

# **EXHIBIT 3**

## UNITED STATES DISTRICT COURT

NORTHERN DISTRICT OF CALIFORNIA

UNITED STATES OF AMERICA,

Plaintiff,

v.

STEPHEN K. CHAMBERLAIN

Defendant(s).

SUBPOENA TO PRODUCE  
DOCUMENTS OR OBJECTS  
IN A CRIMINAL CASE

Case No.: 3:18-cr-00577-CR

TO: JP Morgan Chase Bank, N.A

YOU ARE COMMANDED to produce at the place, date, and time specified the document(s) or object(s) indicated below. If compliance would be unreasonable or oppressive, you may file a motion requesting the court to quash or modify the subpoena, to review the documents in camera, or to permit production only pursuant to a protective order.

PLACE				COURTROOM/JUDGE
<input checked="" type="checkbox"/> U.S. Courthouse	<input type="checkbox"/> U.S. Courthouse	<input type="checkbox"/> U.S. Courthouse	<input type="checkbox"/> U.S. Courthouse	6/Breyer
450 Golden Gate Ave.	280 South First St.	3140 Boeing Ave.	1301 Clay Street	DATE AND TIME
San Francisco, CA 94102	San Jose, CA 95113	McKinleyville, CA 95519	Oakland, CA 94612	12/30/2021 09:00

*If the document(s) or object(s) are produced in advance of the date specified, either to the court in an envelope delivered to the clerk's office or to the issuing attorney whose name and address appears below, no appearance is necessary.*

The following document(s) or object(s) shall be produced:

All communications and documents, in hard copy or electronic form, generated by or sent to Mr. Daud Khan, relating to Autonomy, Mr. Stephen Chamberlain, or Dr. Michael Lynch, including but not limited to chat messages or transcripts, emails (including from daud.khan@cazenove.com, Daud.Khan@jpmorgan.com and Daud.Khan@JPMResearchmail.com), instant messages, Bloomberg communications (including from DKHAN5@Bloomberg.net), voicemails, audio recordings, hand-written notes, and reports (or drafts thereof).

NOTE: Subpoena forms requiring the appearance of a witness to testify at a criminal proceeding or to testify and bring documents to a criminal proceeding, must use Form CAND 89A, *Subpoena to Testify in a Criminal Case* or for the production of state law enforcement personnel or complaint records (CAND 89C, *Subpoena to Produce State Law Enforcement Personnel Or Complaint Records in a Criminal Case*) are available at the Court's website: [cand.uscourts.gov](http://cand.uscourts.gov).

U.S. MAGISTRATE JUDGE OR CLERK OF COURT	DATE
(By) Deputy Clerk	

ATTORNEY'S NAME, ADDRESS AND PHONE NUMBER:

Gary S. Lincenberg  
Bird, Marella, Boxer, Wolpert, Nessim, Drooks, Lincenberg & Rhew, PC.  
1875 Century Park East, 23rd Floor, Los Angeles, CA 90067-2561  
310-201-2100

CAND 89B (Rev. 6/17) Subpoena to Produce Documents or Objects in a Criminal Case

<b>PROOF OF SERVICE</b>		
RECEIVED BY SERVER	DATE	PLACE
SERVED	DATE	PLACE
SERVED ON (PRINT NAME)		FEES AND MILEAGE TENDERED TO WITNESS  <input type="checkbox"/> YES <input type="checkbox"/> NO AMOUNT \$
SERVED BY (PRINT NAME)		TITLE
<b>DECLARATION OF SERVER</b>		
<p>I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.</p> <p>Executed on _____ DATE _____ SIGNATURE OF SERVER _____</p> <p style="text-align: right;">ADDRESS: _____</p>		
<p><b>ADDITIONAL INFORMATION</b></p>		

# EXHIBIT 4

## UNITED STATES DISTRICT COURT

NORTHERN DISTRICT OF CALIFORNIA

UNITED STATES OF AMERICA,

Plaintiff,

v.

STEPHEN K. CHAMBERLAIN

Defendant(s).

SUBPOENA TO PRODUCE  
DOCUMENTS OR OBJECTS  
IN A CRIMINAL CASE

Case No.: 3:18-cr-00577-CR

TO: Joh. Berenberg, Gossler &amp; Co. KG

YOU ARE COMMANDED to produce at the place, date, and time specified the document(s) or object(s) indicated below. If compliance would be unreasonable or oppressive, you may file a motion requesting the court to quash or modify the subpoena, to review the documents in camera, or to permit production only pursuant to a protective order.

PLACE				COURTROOM/JUDGE
<input checked="" type="checkbox"/> U.S. Courthouse	<input type="checkbox"/> U.S. Courthouse	<input type="checkbox"/> U.S. Courthouse	<input type="checkbox"/> U.S. Courthouse	6/Breyer
450 Golden Gate Ave.	280 South First St.	3140 Boeing Ave.	1301 Clay Street	DATE AND TIME
San Francisco, CA 94102	San Jose, CA 95113	McKinleyville, CA 95519	Oakland, CA 94612	12/30/2021 09:00

*If the document(s) or object(s) are produced in advance of the date specified, either to the court in an envelope delivered to the clerk's office or to the issuing attorney whose name and address appears below, no appearance is necessary.*

The following document(s) or object(s) shall be produced:

All communications and documents, in hard copy or electronic form, generated by or sent to Mr. Daud Khan, relating to Autonomy, Mr. Stephen Chamberlain, or Dr. Michael Lynch, including but not limited to chat messages or transcripts, emails, text messages, Bloomberg communications, voicemails, audio recordings, hand-written notes, and reports (or drafts thereof).

NOTE: Subpoena forms requiring the appearance of a witness to testify at a criminal proceeding or to testify and bring documents to a criminal proceeding, must use Form CAND 89A, *Subpoena to Testify in a Criminal Case*) or for the production of state law enforcement personnel or complaint records (CAND 89C, *Subpoena to Produce State Law Enforcement Personnel Or Complaint Records in a Criminal Case*) are available at the Court's website: [cand.uscourts.gov](http://cand.uscourts.gov).

U.S. MAGISTRATE JUDGE OR CLERK OF COURT	DATE
(By) Deputy Clerk	

ATTORNEY'S NAME, ADDRESS AND PHONE NUMBER:

Gary S. Lincenberg  
Bird, Marella, Boxer, Wolpert, Nessim, Drooks, Lincenberg & Rhaw, PC.  
1875 Century Park East, 23rd Floor, Los Angeles, CA 90067-2561  
310-201-2100

CAND 89B (Rev. 6/17) Subpoena to Produce Documents or Objects in a Criminal Case

<b>PROOF OF SERVICE</b>		
RECEIVED BY SERVER	DATE	PLACE
SERVED	DATE	PLACE
SERVED ON (PRINT NAME)		FEES AND MILEAGE TENDERED TO WITNESS  <input type="checkbox"/> YES <input type="checkbox"/> NO   AMOUNT \$
SERVED BY (PRINT NAME)		TITLE
<b>DECLARATION OF SERVER</b>		
<p>I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.</p> <p>Executed on _____ DATE _____ SIGNATURE OF SERVER _____</p> <p style="text-align: right;">ADDRESS: _____</p>		
<p><b>ADDITIONAL INFORMATION</b></p>		



# **EXHIBIT 5**

## UNITED STATES DISTRICT COURT

NORTHERN DISTRICT OF CALIFORNIA

UNITED STATES OF AMERICA,

Plaintiff,

v.

STEPHEN K. CHAMBERLAIN

Defendant(s).

SUBPOENA TO PRODUCE  
DOCUMENTS OR OBJECTS  
IN A CRIMINAL CASE

Case No.: 3:18-cr-00577-CR

TO: Paul Gilmer Morland

YOU ARE COMMANDED to produce at the place, date, and time specified the document(s) or object(s) indicated below. If compliance would be unreasonable or oppressive, you may file a motion requesting the court to quash or modify the subpoena, to review the documents in camera, or to permit production only pursuant to a protective order.

## PLACE

<input checked="" type="checkbox"/> U.S. Courthouse 450 Golden Gate Ave. San Francisco, CA 94102	<input type="checkbox"/> U.S. Courthouse 280 South First St. San Jose, CA 95113	<input type="checkbox"/> U.S. Courthouse 3140 Boeing Ave. McKinleyville, CA 95519	<input type="checkbox"/> U.S. Courthouse 1301 Clay Street Oakland, CA 94612
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## COURTROOM/JUDGE

6/Breyer

DATE AND TIME 12/30/2021 09:00
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*If the document(s) or object(s) are produced in advance of the date specified, either to the court in an envelope delivered to the clerk's office or to the issuing attorney whose name and address appears below, no appearance is necessary.*

The following document(s) or object(s) shall be produced:

All records and communications in the possession of Paul Morland relating to Autonomy, Mr. Stephen Chamberlain, or Dr. Michael Lynch, including but not limited to, electronic or hard copy documents, hand-written notes, reports (and drafts thereof), emails, chat messages, text messages, social media account communications, voicemails and audio recordings.

NOTE: Subpoena forms requiring the appearance of a witness to testify at a criminal proceeding or to testify and bring documents to a criminal proceeding, must use Form CAND 89A, *Subpoena to Testify in a Criminal Case*) or for the production of state law enforcement personnel or complaint records (CAND 89C, *Subpoena to Produce State Law Enforcement Personnel Or Complaint Records in a Criminal Case*) are available at the Court's website: [cand.uscourts.gov](http://cand.uscourts.gov).

U.S. MAGISTRATE JUDGE OR CLERK OF COURT

DATE

(By) Deputy Clerk

ATTORNEY'S NAME, ADDRESS AND PHONE NUMBER:

Gary S. Lincenberg  
Bird, Marella, Boxer, Wolpert, Nessim, Drooks, Lincenberg & Rhow, PC.  
187s5 Century Park East, 23rd Floor, Los Angeles, CA 90067-2561  
310-201-2100

CAND 89B (Rev. 6/17) Subpoena to Produce Documents or Objects in a Criminal Case

<b>PROOF OF SERVICE</b>		
RECEIVED BY SERVER	DATE	PLACE
SERVED	DATE	PLACE
SERVED ON (PRINT NAME)		FEES AND MILEAGE TENDERED TO WITNESS  <input type="checkbox"/> YES <input type="checkbox"/> NO   AMOUNT \$
SERVED BY (PRINT NAME)		TITLE
<b>DECLARATION OF SERVER</b>		
<p>I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.</p> <p>Executed on _____ DATE _____ SIGNATURE OF SERVER _____</p> <p style="text-align: right;">ADDRESS: _____</p>		
<b>ADDITIONAL INFORMATION</b>		

# **EXHIBIT 6**

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**UNITED STATES DISTRICT COURT**  
**NORTHERN DISTRICT OF CALIFORNIA, SAN FRANCISCO DIVISION**

UNITED STATES OF AMERICA,  
Plaintiff,  
vs.  
MICHAEL R. LYNCH AND  
STEPHEN K. CHAMBERLAIN  
Defendants.

CASE NO. 3:18-cr-00577-CRB

**[PROPOSED] LETTER ROGATORY  
TO THE APPROPRIATE JUDICIAL  
AUTHORITY OF THE UNITED  
KINGDOM**

Hon. Charles R. Brever

1           The Honorable Charles R. Breyer, United States District Court Judge of the United  
2 States District Court for the Northern District of California, presents his compliments to  
3 the Appropriate Judicial Authority of the United Kingdom of Great Britain and Northern  
4 Ireland and requests international assistance to obtain evidence to be used in a criminal  
5 proceeding before this Court in the above-captioned matter.

6           This Court requests the assistance described herein as necessary in the interests of  
7 justice and for the purpose of a full and fair trial. The assistance requested is that the  
8 appropriate judicial authority of the Crown compel Paul Gilmer Morland to produce the  
9 documents identified below.

#### 10       **I. FACTUAL BACKGROUND**

11           This request relates to a criminal case brought against Stephen Chamberlain by the  
12 United States of America in the Northern District of California. The Second Superseding  
13 Indictment ("SI") alleges that Mr. Chamberlain, Dr. Michael Lynch, and others defrauded  
14 purchasers and sellers of Autonomy securities, including, specifically, Hewlett-Packard  
15 Company ("HP") in connection with its purchase of Autonomy Corporation plc  
16 ("Autonomy") in August 2011. SI at ¶¶ 19, 21. The case against Mr. Chamberlain is in  
17 pretrial proceedings at present. This Letter Rogatory stems from a request by counsel for  
18 Mr. Chamberlain for materials which this Court has found are relevant and material for his  
19 defense at trial and requested in the interests of justice.

20           The charges against Mr. Chamberlain rely in part on the testimony of Mr. Morland,  
21 a former securities analyst who covered Autonomy, and who has previously testified in  
22 related proceedings, including *United States v. Hussain*, No. CR 16-462 CRB, and  
23 *Autonomy Corp. Ltd. v. Lynch*, Claim No. HC-2015-001324 (High Court of Justice,  
24 Chancery Division, London, U.K.). Mr. Morland has testified that Autonomy's senior  
25 management misled him and other market participants regarding Autonomy's finances and  
26 products. The SI alleges that analysts such as Mr. Morland relied on Autonomy's financial  
27 statements that Mr. Chamberlain helped to prepare, and that Mr. Chamberlain presented  
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1 deceptive information regarding Autonomy's (i) revenue from hardware sales; (ii) Original  
2 Equipment Manufacturer ("OEM") revenue; and (iii) cost allocation relating to the launch  
3 of its new Structured Probabilistic Engine ("SPE") product in Q3 2009, among other  
4 things. Mr. Morland has claimed that this inflated financial information led to an inflated  
5 share price.

6 The record as of now is materially incomplete, as Mr. Chamberlain currently has  
7 access to only a limited set of Mr. Morland's relevant communications. As such, it will be  
8 critical for Mr. Chamberlain to receive additional evidence from Mr. Morland in order to  
9 establish that, contrary to Mr. Morland's testimony, he was not deceived and that there was  
10 no fraudulent scheme.

## 11 **II. RECIPROCITY**

12 The United States District Court for the Northern District of California expresses its  
13 willingness to provide similar assistance to judicial authorities of the United Kingdom of  
14 Great Britain and Northern Ireland, should the need arise, and to the extent permissible by  
15 law.

## 16 **III. REIMBURSEMENT FOR COSTS**

17 The United States District Court for the Northern District of California assures the  
18 Courts of the United Kingdom of Great Britain and Northern Ireland that Mr. Chamberlain  
19 stands ready to reimburse the judicial authorities of the United Kingdom of Great Britain  
20 and Northern Ireland for any costs incurred in executing the requesting court's letters  
21 rogatory.

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1 **IV. EVIDENCE TO BE OBTAINED**

2 This request is directed to Paul Gilmer Morland ("Paul Morland"), c/o Alvarium  
3 Capital, 1st Floor, 10 Old Burlington Street, London, W1S 3AG, for the production of the  
4 documents identified below:

5 1. All records and communications in the possession of Paul Morland relating  
6 to Autonomy, Mr. Stephen Chamberlain, or Dr. Michael Lynch, including but not limited  
7 to, electronic or hard copy documents, hand-written notes, reports (and drafts thereof),  
8 emails, chat messages, text messages, social media account communications, voicemails  
9 and audio recordings.

10  
11  
12 DATED: \_\_\_\_\_

\_\_\_\_\_  
Honorable Charles R. Breyer  
United States District Court Judge  
Northern District of California



# **EXHIBIT 7**

## UNITED STATES DISTRICT COURT

NORTHERN DISTRICT OF CALIFORNIA

UNITED STATES OF AMERICA,

Plaintiff,

v.

STEPHEN K. CHAMBERLAIN

Defendant(s).

SUBPOENA TO PRODUCE  
DOCUMENTS OR OBJECTS  
IN A CRIMINAL CASE

Case No.: 3:18-cr-00577-CR

TO: Northland Capital Partners Limited (previously known as Astaire Securities)

YOU ARE COMMANDED to produce at the place, date, and time specified the document(s) or object(s) indicated below. If compliance would be unreasonable or oppressive, you may file a motion requesting the court to quash or modify the subpoena, to review the documents in camera, or to permit production only pursuant to a protective order.

PLACE				COURTROOM/JUDGE
<input checked="" type="checkbox"/> U.S. Courthouse 450 Golden Gate Ave. San Francisco, CA 94102	<input type="checkbox"/> U.S. Courthouse 280 South First St. San Jose, CA 95113	<input type="checkbox"/> U.S. Courthouse 3140 Boeing Ave. McKinleyville, CA 95519	<input type="checkbox"/> U.S. Courthouse 1301 Clay Street Oakland, CA 94612	6/Breyer
				DATE AND TIME 12/30/2021 09:00

*If the document(s) or object(s) are produced in advance of the date specified, either to the court in an envelope delivered to the clerk's office or to the issuing attorney whose name and address appears below, no appearance is necessary.*

The following document(s) or object(s) shall be produced:

All communications and documents, in hard copy or electronic form, including but not limited to instant messages, texts, emails, voicemails, hand-written notes, reports (including drafts thereof), or audio recordings, generated by or sent to Paul Morland, relating to Autonomy, Mr. Stephen Chamberlain, or Dr. Michael Lynch.

NOTE: Subpoena forms requiring the appearance of a witness to testify at a criminal proceeding or to testify and bring documents to a criminal proceeding, must use Form CAND 89A, *Subpoena to Testify in a Criminal Case*) or for the production of state law enforcement personnel or complaint records (CAND 89C, *Subpoena to Produce State Law Enforcement Personnel Or Complaint Records in a Criminal Case*) are available at the Court's website: [cand.uscourts.gov](http://cand.uscourts.gov).

U.S. MAGISTRATE JUDGE OR CLERK OF COURT	DATE
(By) Deputy Clerk	

ATTORNEY'S NAME, ADDRESS AND PHONE NUMBER:

Gary S. Lincenberg  
Bird, Marella, Boxer, Wolpert, Nessim, Drooks, Lincenberg & Rhow, PC.  
1875 Century Park East, 23rd Floor, Los Angeles, CA 90067-2561  
310-201-2100

CAND 89B (Rev. 6/17) Subpoena to Produce Documents or Objects in a Criminal Case

<b>PROOF OF SERVICE</b>		
RECEIVED BY SERVER	DATE	PLACE
SERVED	DATE	PLACE
SERVED ON (PRINT NAME)		FEES AND MILEAGE TENDERED TO WITNESS  <input type="checkbox"/> YES <input type="checkbox"/> NO   AMOUNT \$
SERVED BY (PRINT NAME)		TITLE
<b>DECLARATION OF SERVER</b>		
<p>I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.</p> <p>Executed on _____</p> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 45%; text-align: center;">DATE</div> <div style="width: 45%; text-align: center;">SIGNATURE OF SERVER</div> </div> <div style="text-align: center; margin-top: 10px;">ADDRESS:</div>		
<b>ADDITIONAL INFORMATION</b>		

# **EXHIBIT 8**

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**UNITED STATES DISTRICT COURT**  
**NORTHERN DISTRICT OF CALIFORNIA, SAN FRANCISCO DIVISION**

UNITED STATES OF AMERICA,  
Plaintiff,  
vs.  
MICHAEL R. LYNCH AND  
STEPHEN K. CHAMBERLAIN  
Defendants.

CASE NO. 3:18-cr-00577-CRB

**[PROPOSED] LETTER ROGATORY  
TO THE APPROPRIATE JUDICIAL  
AUTHORITY OF THE UNITED  
KINGDOM**

Hon. Charles R. Brever

1 The Honorable Charles R. Breyer, United States District Court Judge of the United  
 2 States District Court for the Northern District of California, presents his compliments to  
 3 the Appropriate Judicial Authority of the United Kingdom of Great Britain and Northern  
 4 Ireland and requests international assistance to obtain evidence to be used in a criminal  
 5 proceeding before this Court in the above-captioned matter.

6 This Court requests the assistance described herein as necessary in the interests of  
 7 justice and for the purpose of a full and fair trial. The assistance requested is that the  
 8 appropriate judicial authority of the Crown compel Northland Capital Partners Limited  
 9 (formerly Astaire Securities) to produce the materials identified below.

#### 10 **I. FACTUAL BACKGROUND**

11 This request relates to a criminal case brought against Stephen Chamberlain by the  
 12 United States of America in the Northern District of California. The Second Superseding  
 13 Indictment ("SI") alleges that Mr. Chamberlain, Dr. Michael Lynch, and others defrauded  
 14 purchasers and sellers of Autonomy securities, including, specifically, Hewlett-Packard  
 15 Company ("HP") in connection with its purchase of Autonomy Corporation plc  
 16 ("Autonomy") in August 2011. SI at ¶¶ 19, 21. The case against Mr. Chamberlain is in  
 17 pretrial proceedings at present. This Letter Rogatory stems from a request by counsel for  
 18 Mr. Chamberlain for materials which this Court has found are relevant and material for his  
 19 defense at trial and requested in the interests of justice.

20 The charges against Mr. Chamberlain rely in part on the testimony of Mr. Morland,  
 21 a former securities analyst who covered Autonomy, and who has previously testified in  
 22 related proceedings, including *United States v. Hussain*, No. CR 16-462 CRB, and  
 23 *Autonomy Corp. Ltd. v. Lynch*, Claim No. HC-2015-001324 (High Court of Justice,  
 24 Chancery Division, London, U.K.). Mr. Morland has testified that Autonomy's senior  
 25 management misled him and other market participants regarding Autonomy's finances and  
 26 products. The SI alleges that analysts such as Mr. Morland relied on Autonomy's financial  
 27 statements that Mr. Chamberlain helped to prepare, and that Mr. Chamberlain presented  
 28 deceptive information regarding Autonomy's (i) revenue from hardware sales; (ii) Original

1 Equipment Manufacturer ("OEM") revenue; and (iii) cost allocation relating to the launch  
2 of its new Structured Probabilistic Engine ("SPE") product in Q3 2009, among other  
3 things. Mr. Morland has claimed that this inflated financial information led to an inflated  
4 share price.

5 The record as of now is materially incomplete, as Mr. Chamberlain currently has  
6 access to only a limited set of Mr. Morland's relevant communications. As such, it will be  
7 critical for Mr. Chamberlain to receive additional evidence from Mr. Morland in order to  
8 establish that, contrary to Mr. Morland's testimony, he was not deceived and that there was  
9 no fraudulent scheme.

## 10 **II. RECIPROCITY**

11 The United States District Court for the Northern District of California expresses its  
12 willingness to provide similar assistance to judicial authorities of the United Kingdom of  
13 Great Britain and Northern Ireland, should the need arise, and to the extent permissible by  
14 law.

## 15 **III. REIMBURSEMENT FOR COSTS**

16 The United States District Court for the Northern District of California assures the  
17 Courts of the United Kingdom of Great Britain and Northern Ireland that Mr. Chamberlain  
18 stands ready to reimburse the judicial authorities of the United Kingdom of Great Britain  
19 and Northern Ireland for any costs incurred in executing the requesting court's letters  
20 rogatory.

## 21 **IV. EVIDENCE TO BE OBTAINED**

22 Mr. Morland worked at Astaire Securities from July 2008 through October 2010,  
23 and reported on and communicated about Autonomy throughout his period of employment.  
24 Therefore, Mr. Morland's communications and documents from this period will be relevant  
25 to his coverage of Autonomy and to whether or not he was deceived.

26 This request is directed to Northland Capital Partners Limited (formerly Astaire  
27 Securities), Prince Fredrick House, 35-39 Maddox Street, London W1S 2PP, for the  
28 production of the materials identified below:

1           1.       All communications and documents, in hard copy or electronic form,  
2 including but not limited to instant messages, texts, emails, voicemails, hand-written notes,  
3 reports (including drafts thereof), or audio recordings, generated by or sent to Paul  
4 Morland, relating to Autonomy, Mr. Stephen Chamberlain, or Dr. Michael Lynch.

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7 DATED: \_\_\_\_\_

\_\_\_\_\_  
Honorable Charles R. Breyer  
United States District Court Judge  
Northern District of California



# EXHIBIT 9

## UNITED STATES DISTRICT COURT

NORTHERN DISTRICT OF CALIFORNIA

UNITED STATES OF AMERICA,

Plaintiff,

v.

STEPHEN K. CHAMBERLAIN

Defendant(s).

SUBPOENA TO PRODUCE  
DOCUMENTS OR OBJECTS  
IN A CRIMINAL CASE

Case No.: 3:18-cr-00577-CR

TO: Peel Hunt LLP

YOU ARE COMMANDED to produce at the place, date, and time specified the document(s) or object(s) indicated below. If compliance would be unreasonable or oppressive, you may file a motion requesting the court to quash or modify the subpoena, to review the documents in camera, or to permit production only pursuant to a protective order.

PLACE				COURTROOM/JUDGE
<input checked="" type="checkbox"/> U.S. Courthouse	<input type="checkbox"/> U.S. Courthouse	<input type="checkbox"/> U.S. Courthouse	<input type="checkbox"/> U.S. Courthouse	6/Breyer
450 Golden Gate Ave.	280 South First St.	3140 Boeing Ave.	1301 Clay Street	DATE AND TIME
San Francisco, CA 94102	San Jose, CA 95113	McKinleyville, CA 95519	Oakland, CA 94612	12/30/2021 09:00

*If the document(s) or object(s) are produced in advance of the date specified, either to the court in an envelope delivered to the clerk's office or to the issuing attorney whose name and address appears below, no appearance is necessary.*

The following document(s) or object(s) shall be produced:

All communications and documents, in hard copy or electronic form, generated by or sent to Mr. Paul Morland, relating to Autonomy, Mr. Stephen Chamberlain, or Dr. Michael Lynch, including but not limited to chat messages or transcripts, emails, instant messages, texts, voicemails, hand-written notes, audio recordings, and reports (or drafts thereof).

NOTE: Subpoena forms requiring the appearance of a witness to testify at a criminal proceeding or to testify and bring documents to a criminal proceeding, must use Form CAND 89A, *Subpoena to Testify in a Criminal Case*) or for the production of state law enforcement personnel or complaint records (CAND 89C, *Subpoena to Produce State Law Enforcement Personnel Or Complaint Records in a Criminal Case*) are available at the Court's website: [cand.uscourts.gov](http://cand.uscourts.gov).

U.S. MAGISTRATE JUDGE OR CLERK OF COURT	DATE
(By) Deputy Clerk	

ATTORNEY'S NAME, ADDRESS AND PHONE NUMBER:

Gary S. Lincenberg  
Bird, Marella, Boxer, Wolpert, Nessim, Drooks, Lincenberg & Rhew, PC.  
1875 Century Park East, 23rd Floor, Los Angeles, CA 90067-2561  
310-201-2100

CAND 89B (Rev. 6/17) Subpoena to Produce Documents or Objects in a Criminal Case

<b>PROOF OF SERVICE</b>		
RECEIVED BY SERVER	DATE	PLACE
SERVED	DATE	PLACE
SERVED ON (PRINT NAME)		FEES AND MILEAGE TENDERED TO WITNESS  <input type="checkbox"/> YES <input type="checkbox"/> NO   AMOUNT \$
SERVED BY (PRINT NAME)		TITLE
<b>DECLARATION OF SERVER</b>		
<p>I declare under penalty of perjury under the laws of the United States of America that the foregoing information contained in the Proof of Service is true and correct.</p> <p>Executed on _____ DATE _____ SIGNATURE OF SERVER _____</p> <p style="text-align: right;">ADDRESS: _____</p>		
<b>ADDITIONAL INFORMATION</b>		